

AWARD CLOSEOUT GUIDANCE

Grants and Cooperative Agreements Supported by
National Institute for Occupational Safety and Health
Centers for Disease Control and Prevention
April 6, 2011

Purpose of this Guidance

The National Institute for Occupational Safety and Health (NIOSH) and the Centers for Disease Control and Prevention, Procurement and Grants Office (CDC/PGO) have developed this guidance for closing out completed grant awards. Instructions for preparing four required closeout documents are provided for use by Principal Investigator (PI)s and Business Officials. These instructions replace prior NIOSH closeout guidance. They do not replace or supersede any Department of Health and Human Services (DHHS) or CDC policies.

Required Closeout Documents and Timeline

NIOSH will close out grants as soon as possible after their official end date or termination date as provided in 45 CFR 74.71 to 74.73. To ensure proper and timely closeout of a grant award, grantees must submit the following four documents within 90 days after the official project end date:

1. *Final Progress Report*: an original, one paper copy, one PDF and one editable electronic document, e.g. Microsoft Word file.
2. *Final Financial Status Report*: an original paper document.
3. *Final Invention Statement and Certification*: an original paper document.
4. *Equipment Inventory Listing*: an original paper document and a Microsoft Word file.

The official project end date is specified in the most recent Notice of Award (NOA). It can also be obtained from the recipient Institution's business office. Failure to submit timely and accurate final reports may affect future funding to the Institution or future awards to the PI.

Closeout Timeline

Closeout documents must be submitted within 90 days after the project end date. In most cases, the PI and the institution's business official will receive an advance reminder from their assigned GMS that the official project end date is approaching.

If the 90 day timeline cannot be met, the PI must submit a written justification for the delay and request an extension from the CDC/ PGO Grants Management Specialist (GMS) named in the most recent NOA. The PI should follow-up with the GMS to verify that the request has been received.

For additional information, please refer to Section II pages 57 and 58 of the HHS Grants Policy Statement (<http://dhhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>) which states that "Failure to submit timely and accurate final reports may affect future funding to the organization or awards with the same PI/PD". It is the grantee institution's responsibility to be aware of, and comply with, grant closeout procedures and timelines.

Closeout Document 1: *The Final Progress Report* (an original and a paper copy, a PDF, and an editable electronic document, e.g. Microsoft Word file)

The Final Progress Report likely represents the **most important** report which a PI prepares for a grant. It communicates the cumulative results of the research and provides a synthesis of the overall project to the sponsoring agency. NIOSH is tasked with exercising proper stewardship of public funds and providing evidence of the value of federally sponsored research on occupational safety and health issues. Documenting accomplishments and outcomes of each research project is critical for these reasons.

NIOSH uses the content of Final Progress Reports to inform Congress, the Executive Branch, the NIOSH Director, and other stakeholders on successes and impacts of the NIOSH extramural research program in addressing occupational safety and health issues. It is essential that each PI provide a cogent, well-organized report of findings.

NIOSH and CDC/PGO have developed the format discussed below for Final Progress Reports. This format will work for the majority of NIOSH grant awards.

Note: For Centers of Excellence and other complex awards with more than one project or component, the PI must contact the NIOSH Scientific Program Official (SPO) named in the most recent NOA, in advance, to obtain and address essential information requirements for the final progress report. For clarity, the final progress report and an annual report of accomplishments or impacts are not the same.

Title Page

The title page should contain the PI's name, affiliation and contact information (address, telephone, email); the institution to which the award was made (include full address); project title; date and number of report (if any); co-investigators, project director and sponsors; grant number(s); the project starting and ending dates; and the date the final report was completed.

Table of Contents

List of Terms and Abbreviations

Abstract (500 words or less)

The abstract is a brief summary that informs others about the key findings and importance of the project. It must provide a concise overview of the occupational safety and health issues that were addressed, the approaches used, and the key findings or conclusions. How the results of the study relate or translate to improvements for worker safety and health should also be included.

The abstract should stand-alone and be suitable for dissemination to a wide audience. It should be written in a style that can be understood by general readers interested in science issues (for example, the style used by *Scientific American*). Technical terms, jargon or acronyms in the abstract should be minimal. Project title, PI(s) and contact information for the PI who will receive correspondence about the study should be included. The 500 word limit applies to the body of the abstract. Abstracts far in excess of 500 words will be returned to the PI for revision and resubmission to PGO and NIOSH.

NIOSH may provide the Abstract to members of Congress, the Secretary of DHHS, the NIOSH Director, the CDC Director, other government agencies or other interested individuals and organizations. Once accepted and approved by NIOSH/CDC, Final Progress Report abstracts will be used without subsequent editing. The PI may be contacted if clarifications are needed.

Section 1 of the Final Progress Report (2-page limit)

This section is limited to two pages. Please provide a concise, cogent Section 1 *using the headings below* that can be understood by a broad audience. PIs for Centers of Excellence and other complex awards with more than one project or component must contact the NIOSH Scientific Program Official (SPO) named in the NOA for specific instructions as to page limits.

Significant (Key) Findings. These are the most important results of the project, and should address the specific aims of the project. Use a separate paragraph for each key finding. Details may be elaborated in the Scientific Report (Section 2).

Translation of Findings. This section provides an interpretation of how the significant findings of the project can be used to prevent workplace diseases and injuries. If specific recommendations are made for reducing hazards on the job, the language should be as non-technical as possible to communicate to employers or employees. It is important that the PI identify how these findings have been, or may be, adopted or adapted in the workplace. If the findings cannot yet be applied to the workplace, this section should address how they can be used to guide future investigative or intervention activities.

Outcomes/ Impact. In this section the primary goal is to answer questions such as “How did this project lead to improvements in occupational safety and health?” or “How can the findings of this study guide future investigations and research?” Address how your project relates to occupational safety and health with regard to improved practices, prevention or intervention techniques, safety communication, legislation, policy and use of technology. Outcomes should be explained and classified in one of the following ways:

- 1) potential outcomes, i.e., findings, results, or recommendations that could impact workplace risk if used;
- 2) intermediate outcomes, i.e., how findings, results, or recommendations have been used by others to influence practices, legislation, product design, safety management program and training and so forth; and
- 3) end outcomes, i.e., how findings, results, or recommendations have contributed to documented reductions in work-related morbidity, mortality, and/or exposure.

Section 2 of the Final Progress Report

Scientific Report. This section should contain the following: background for the project, specific aims, methodology, results and discussion, and conclusions. More detail should be provided in this section than in the Section 1 “Significant (Key) Findings.” **This section can be as technical as the author would like.** Each of the specific aims originally planned or added during the project should be addressed in terms of what was accomplished or why progress was not made. In this way there will be a complete documentation of the efforts on the grant.

Include the Inclusion Enrollment Table with the scientific report (form can be found at <http://grants.nih.gov/grants/funding/2590/2590.htm>). Information that is considered proprietary for commercial purposes should be clearly noted as such in case a Freedom of Information Act (FOIA) request is received. Otherwise, the entire report may be released.

Publications. List the published or “in press” articles resulting from the grant support. NIOSH support should be acknowledged in each article. Provide annotations that describe how the articles relate to the specific aims of the project. **Do not submit reprints or manuscripts.** For publications resulting after the Final Progress Report is completed, please inform the NIOSH Scientific Program Official (SPO).

Note: Grantees are reminded that they are required to acknowledge federally funded research support from CDC/NIOSH in publications and all other information or media disseminations.

Citation Format Examples

Journal Article

Clark WW, Popelka GR: [1989] Hearing Levels of Railroad Trainmen. *Laryngoscope* 99:1151-1157.

Gomes M, Santella RM: [1990] Immunologic Methods for the Detection of Benzo(a)pyrene Metabolites in Urine. *Chemical Research in Toxicology*, in press.

Book

Trush MA, Thompson DC: [1989] Enhancement of Chemical Activation Via Radical - Dependent Mechanisms: An Emerging Concept in Chemical-Chemical Interactions. In: 2 Oxygen Radicals in Biology and Medicine, (eds. MG Simic, KA Taylor, JF Ward, CV Sonntag), Plenum Publishing Corporation, pp 739-744.

Murlas CG: [1989] Environmental Airway of Mucosal and Changes in Hyperreactivity. In *Airway Epithelium: Structure and Function in Health and Disease*, (eds. S Farmer, D Hay), Marcel Decker Inc., in press.

Proceedings

Park MY, Casali JG: [1989] A Laboratory Simulation of Selected In-field Influences on Hearing Protector Performance. *Proc of 1989 Human Factors Society 33rd Annual Conference*, Denver, Colorado, 946-950, October 16-20.

Dissertation/Thesis

Holton PM: [1986] Particle Size-Dependent leakage through the Face seal of Negative Pressure Half-Mask Respirators, Ph.D. Thesis, University of Cincinnati.

Inclusion of gender and minority study subjects. If applicable, use the gender and minority inclusion table provided in the PHS 2590 (<http://grants.nih.gov/grants/funding/2590/2590.htm>).

Inclusion of Children. As applicable, indicate if children were involved in the study or how the study was relevant for conditions affecting children. You can refer to the following internet sites: <http://grants1.nih.gov/grants/funding/children/children.htm> <http://grants.nih.gov/grants/funding/phs398/phs398.html>.

Materials available for other investigators. Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that are available to be shared with other investigators and how it may be accessed.

Reminder: Submit an original Final Progress Report, along with one paper copy, one PDF, and one editable electronic document (e.g. Microsoft Word) of the Final Progress Report to the GMS identified in your most recent NOA.

Closeout Document 2: *The Final Financial Status Report (FSR)*

(submit an original paper document)

CDC requires the SF-269 or the SF-269A. These forms can be found at the following hyperlink: <http://grants1.nih.gov/grants/forms.htm>. CDC is in the process of transitioning to the SF-425. Until the transition is complete, please continue submitting the SF-269 or the SF-269A. CDC will notify you when the transition is complete.

Please provide an original paper copy to the GMS identified in the most recent NOA.

For organizations receiving their funds through the Health and Human Services Payment Management System (PMS), final reports specified by PMS must be submitted to that office. It is the responsibility of the grantee to reconcile reports submitted to PMS and to CDC/PGO.

Requirement. Final FSRs are required for grants that have been completed and are being closed, and for grants that have expired or have been terminated. Final FSRs are also required when grants are transferred to a new grantee or are modified during the project and require an adjustment of funds. These include awards which will not be competitively extended through award of a new competitive segment. For grants that will be continued through competitive renewal, the final FSR is due at the end of the project period defined in the NOA.

Process.

The final FSR must:

- Cover the period of time since the previous FSR submission or as much of the competitive segment as has been funded prior to termination.
- Have no unliquidated obligations. Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded.

- Indicate the exact balance of unobligated funds. Unobligated funds must be returned to CDC/PGO or must be reflected by an appropriate accounting adjustment in accordance with instructions from the GMO or from the payment office.

Withdrawal of the unobligated balance following expiration or termination of a grant is not considered an adverse action and may not be appealed.

Where the submission of a revised final FSR results in additional claims by the grantee, CDC will consider the approval of such claims subject to the following minimum criteria:

- The charges must represent allowable costs under the provisions of the grant.
- There must have been an unobligated balance for the given budget period that is sufficient to cover the additional claim. Such a claim may be considered regardless of whether the unobligated balance was moved forward to offset the award for a subsequent budget period.
- Funds must be available from the applicable appropriation.
- CDC/PGO must receive the revised FSR within 15 months of its due date.

Closeout Document 3: *The Final Invention Statement and Certification* (submit an original paper document)

Form: Final Invention Statement and Certification (Form HHS 568 – Fillable), available at <http://grants.nih.gov/grants/hhs568.pdf>.

Process: The grantee must submit an original Final Invention Statement and Certification (Form HHS 568) even if no inventions resulted under the grant. The PI must list all inventions conceived, or first actually put into practice, during the course of work under the project, from the original effective date of support through the date of expiration or termination, regardless if reported previously reported. If there were no inventions, indicate “None” on the statement. The Final Invention Statement and Certification Form must be signed by the PI and the institution’s authorized official.

Closeout Document 4: *Equipment Inventory Listing* (submit an original paper document and a Microsoft Word file)

Form: Equipment Inventory Listing

Process: The grantee must submit an Equipment Inventory Listing identifying all equipment purchased using grant funds. The grantee must complete this form even if there have been no purchases that meet the following definition. Equipment means tangible nonexpendable personal property, including exempt property, charged directly to the award having a useful life of more than one year and acquisition cost of \$5,000 or more per unit. In general, title to equipment and supplies acquired by a recipient or subrecipient with HHS funds vests in the recipient or

subrecipient upon acquisition, subject to the property management requirements of 45 CFR 74.31, 74.34, 74.35, and 74.37 or of 45 CFR 92.32 and 92.33.

For items of equipment having a unit acquisition cost of \$5,000 or more, CDC has the right to require transfer title to the equipment to the Federal government or to an eligible third party named by CDC under the conditions specified in 45 CFR 74.34(h) and 92.32, respectively. This right applies to nonexempt property acquired by all types of recipients, including State governments and Federal institutions, under all types of grants under the stipulated conditions.

Grantees shall complete the highlighted boxes on the *CDC Procurement & Grants Office - Branch V Equipment Inventory Listing* and return the completed form to the Grants Management Specialist identified in the Notice of Award.

Questions, Assistance or More Information

For questions with the *Final Progress Report* or this Guidance, please contact the SPO named in your most recent Notice of Award.

Important reminder: Submit an original Final Progress Report along with one paper copy, one PDF document and one editable document, e.g. Microsoft Word). NIOSH uses the editable document to extract various parts of the final report for subsequent internal and external use, as previously mentioned.

For assistance with the *Final Financial Status Report*, the *Final Invention Statement* and the *Certification*, and *Equipment Inventory Listing*, please contact the GMS named in your most recent NOA.

Important reminders

Submit an original paper Final Financial Status Report.

Submit an original paper Final Invention Statement and Certification.

Submit an original paper Equipment Inventory Listing along with an electronic Microsoft Word file.

Where to Send Your Final Closeout Documents

All required final closeout documents should be sent to the mailing address shown below and to the e-mail address of the GMS named in your most recent Notice of Award:

CDC/PGO

Grants Management Specialist named in your most recent NOA

PITT Bldg 140 Rm 220

MS P05

Pittsburgh, PA, 15236